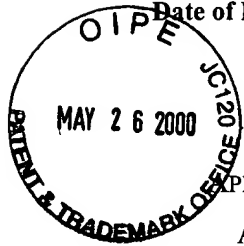


Express Mail Label No.: EK141045273US

Date of Deposit: May 26, 2000

Attorney Docket No. 21486-032



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

RECEIVED

JUN 02 2000

APPLICANTS : Wands, *et al.*  
ASSIGNEE : Rhode Island Hospital  
SERIAL NUMBER : 09/436,184  
FILING DATE : November 8, 1999  
FOR : DIAGNOSIS AND TREATMENT OF MALIGNANT NEOPLASMS

TECH CENTER 1600/2900

EXAMINER : Karen A. Canella

ART UNIT : 1642

May 26, 2000

## BOX SEQUENCE LISTING

Commissioner for Patents and Trademarks  
Washington, D.C. 20231

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TECH CENTER 1600/2900

## TRANSMITTAL LETTER

In response to the Notice to Comply with Sequence Listing mailed April 27, 2000, we are filing herewith the following documents for the above identified patent application:

- ☒ Nucleotide/Amino Acid Sequence Submission, paper copy (13 pages)
  - ☒ Computer Readable Form (1 disk)
  - ☒ Statement in Support of Computer Readable Form Submission under 37 C.F.R. § 1.821(f) (1 page)
- ☒ Preliminary Amendment (2 pages);
- ☒ Copy of Notice to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures; and
- ☒ a postcard.

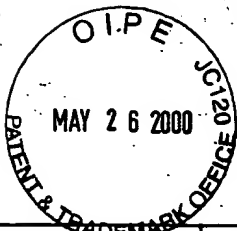
Applicants believe that this filing is due on or before May 27, 2000, and that no fee is required. However, if a fee is due, the Commissioner is hereby authorized to charge any fees that may be due to Deposit Account No. 50-0311, Reference No. 21486-032. A duplicate copy of this transmittal letter is enclosed.

Respectfully submitted,

Ingrid A. Beattie, Reg. No. 42,306

Janine M. Susan, Reg. No. 46,119

c/o MINTZ, LEVIN  
One Financial Center  
Boston, Massachusetts 02111  
Tel: (617) 542-6000  
Fax: (617) 542-2241



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.
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09/436,184 11/08/99 WANDS

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21486-032  
04980/032001

~~INVENTOR'S NAME~~

HM22/0427

WILLIAM E BOOTH  
FISH & RICHARDSON PC  
225 FRANKLIN STREET  
BOSTON MA 02110-2804

EXAMINER

CANELLA, A.K.

ART UNIT

PAPER NUMBER

1642

DATE MAILED:

04/27/00

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks

RECEIVED

MAY 01 2000

FISH & RICHARDSON, P.C.  
BOSTON OFFICE

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UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
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Washington, D.C. 20231

DEA/FCE-1894

SERIAL NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO.

EXAMINER	
CANELLA	
ART UNIT	PAPER NUMBER
1642	

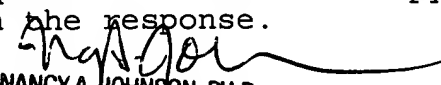
DATE MAILED:

Please find below a communication from the EXAMINER in charge of this application

Commissioner of Patents

1. This application contains sequence disclosures that are encompassed by the definitions for nucleotide and/or amino acid sequences set forth in 37 C.F.R. § 1.821(a)(1) and (a)(2). However, this application fails to comply with the requirements of 37 C.F.R. §§ 1.821-1.825 for the reason(s) set forth on the attached Notice To Comply With Requirements For Patent Applications Containing Nucleotide Sequence And/Or Amino Acid Sequence Disclosures.
2. Any inquiry concerning this communication should be directed to Examiner Karen A. Canella, Art Unit 1642, whose telephone number is (703)308-8362.
3. Any questions regarding compliance with the sequence rules requirements specifically should be directed to the departments listed at the bottom of the Notice to Comply.
4. APPLICANT IS GIVEN ONE MONTH FROM THE DATE OF THIS LETTER WITHIN WHICH TO COMPLY WITH THE SEQUENCE RULES, 37 C.F.R. §§ 1.821-1.825. Failure to comply with these requirements will result in ABANDONMENT of the application under 37 C.F.R. § 1.821(g). Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 C.F.R. § 1.136. In no case may an applicant extend the period for response beyond the six month statutory period. Direct the response to the undersigned. Applicant is requested to return a copy of the attached Notice to Comply with the response.

Karen A. Canella, Ph.D.  
Patent Examiner, Group 1642

  
NANCY A. JOHNSON, PH.D.  
PRIMARY EXAMINER

09/436,184

**NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING  
NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES**

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason(s):

- ☐ 1. This application clearly fails to comply with the requirements of 37 CFR 1.821 - 1.825. Applicant's attention is directed to these regulations, published at 1114 OG 2 May 15, 1990 and at 55 FR 18230, May 1, 1990.
- ☒ 2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 CFR 1.821(c).
- ☒ 3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
- ☐ 4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 CFR 1.822 and/or 1.823, as indicated on the attached copy of the marked-up "Raw Sequence Listing."
- ☐ 5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ 6. The paper copy of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ 7.

Other: \_\_\_\_\_

**Applicant must provide:**

- ☒ An initial or substitute computer readable form (CRF) copy of the "Sequence Listing"
- ☒ An initial or substitute paper copy of the "Sequence Listing", as well as an amendment directing its entry into the specification
- ☒ A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d)

For questions regarding compliance with these requirements, please contact

For Rules Interpretation, call (703) 308-1123

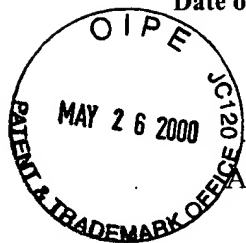
For CRF submission help, call (703) 308-4212

For PatentIn software help, call (703) 557-0400

Please return a copy of this notice with your response.

Express Mail Label No. EK141045273US  
Date of Deposit: May 26, 2000

PATENT APPLICATION  
Attorney Docket No. 21486-032



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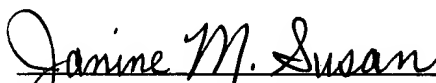
BOX SEQUENCE LISTING  
Commissioner for Patents and Trademarks  
Washington, D.C. 20231

STATEMENT IN SUPPORT OF COMPUTER READABLE  
FORM SUBMISSION UNDER 37 C.F.R. § 1.821(f)

Sir:

I hereby state that the content of the paper and computer readable forms of the Sequence Listing, submitted in the above-identified application in accordance with 37 C.F.R. § 1.821(c) and 1.821(e), respectively, are the same. No new matter is added.

Respectfully submitted,



Janine M. Susan, Reg. No. 46,119  
c/o MINTZ, LEVIN  
One Financial Center  
Boston, MA 02111  
Telephone (617) 542 6000  
Fax (617) 542 2241

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KG  
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